

**Kentucky Division of Securities**  
**Canadian Firms/Agents Seeking Exemption—Instruction Sheet**

To claim an exemption under Commonwealth of Kentucky Order (“Order”) entered March 14, 2001, pursuant to KRS 292.330, 292.330(14), 292.500(1), and 292.500(3), please complete the appropriate affidavit for your situation (firm exemption or agent exemption) and assemble the materials called for in the affidavit. Copies of such materials are sufficient. You may retain your originals. However, the affidavit itself must be an *original*, notwithstanding the fact that copies will be attached. If both the firm and some of its agents wish to claim the exemption, each will have to fill the applicable form.

Please note that a firm files a copy of its application from its *home* jurisdiction. An agent may have a home in one province that is not the home province of the broker-dealer. In that case, the agent should submit a copy of the agent’s application from their home jurisdiction instead of the home jurisdiction of the firm (if the agent is required to be registered in his or her home jurisdiction). In cases where the firm and agent are both in the same jurisdiction this will not be an issue.

To renew a claim of exemption, a firm must file a copy of the most recent renewal application, if any, filed in its home jurisdiction. If no such renewal application is required, the firm must file a copy of the most recent application filed in its home jurisdiction. An agent must file a copy of the agent’s most recent renewal application, if any, filed in the agent’s home jurisdiction or the home jurisdiction of the agent’s employer. If no such renewal application is required, the agent must file a copy of the most recent application filed in the agent’s home jurisdiction or the home jurisdiction of the agent’s employer. Renewal applications must be received by the Division of Securities by December 1.

If you need assistance in completing the forms or determining which materials to attach, you may call the Division of Securities at 502-573-3390 during regular business hours (Eastern Standard Time) Monday through Friday. Please tell the switchboard operator that you have a securities broker-dealer question when you call in order that your call can be properly routed.